STATE OF ALABAMA
STATE BANKING DEPARTMENT— FY08 IT STRATEGIC PLAN WORKSHEET

IT MISSION

To provide information and communication resources and guidance supporting the mission of the State Banking Department

IT VISION

To consistently provide high quality and innovative information and communication support proactively meeting the Department's current and future needs

VALUES

- Integrity
We demand honesty from ourselves, as our users depend upon the trustworthiness of our support and information
- Quality
We dedicate ourselves to providing reliable, responsive support meeting our users' needs
- Flexibility
We are in the solution business. We find ways to meet our user's needs.
- Accessibility
We avail ourselves to all of our users and value their perspectives, questions, and suggestions

CUSTOMERS
(Expectations)

- Department employees and staff
- Other regulatory agencies (e.g., Federal Reserve, FDIC, Conference of State Banking Supervisors (CSBS))

Expectations
- ➢ *Reliable, dependable, and user-friendly systems, applications, and networks*
- ➢ *Effectively communicate IT solutions and options to users*
- ➢ *Current and compatible systems and applications*
- ➢ *IT staff maintains skill currency and expertise*
- ➢ *Reliable data and information access*
- ➢ *Timely, accurate, and flexible responses and solutions*
- ➢ *Ensure federal and CSBS standards are met*

- ➢ *Act as a good steward of Department resources*

STAKEHOLDERS
(Expectations)

- Regulated entities (e.g., state chartered banks and trust companies, finance companies, mortgage brokers, pawn shops, and payday lenders)
- Customers, insurers, and shareholders of Alabama chartered banks and other regulated entities
- Other federal and state agencies
- General public

Expectations
- ➢ *Reliable data and information access*
- ➢ *Timely and accurate responses*
- ➢ *Reliable, dependable, and user-friendly systems, applications, and networks*

KEY GOALS (1-4)

G1 (DGX): By the end of FY08, expand existing information and communication infrastructure and capabilities to ensure complete business continuity is achieved through an operational Department disaster recovery plan.

G2 (DGX): Integrate information and communication technologies to ensure field examiners have system connectivity, other than dial-up, at 80% of examination sites visited during the fiscal year.

G3 (DGX): By end of FY09, deploy a document management system and productivity database to consistently verify the Department meets CSBS accreditation and internal processing standards.

ASSUMPTIONS

- FY06-07 initiatives are on schedule
- Funding is stable based on historical trends
- Projected IT position is approved, funded, and filled by the end of FY07
- Initial baselines for established metrics will be in place by the end of FY07

WORKLOAD MEASURES

W1: # of systems supported
W2: # of applications supported
W3: # of user requests
W4: # of organizational responsibilities (i.e., division of duties)

STRENGTHS

- Stable funding
- Leadership support for IT
- Generally knowledgeable IT staff and users
- Responsiveness to user needs
- User and IT staff partnership/relationship
- IT infrastructure and architecture
- State system and process knowledge and experience
- Vendor support and relationship

WEAKNESSES

- Lack of adequate baselines and metrics
- Level of dedicated technological expertise needed to support projected requirements
- Division of labor within IT

OPPORTUNITIES

- Expansion of wireless infrastructure across the state
- Expansion of statewide disaster recovery plan and capability by ISD
- Expansion of e-government initiatives and programs
- Establishment of nationwide mortgage brokerage registration and database by CSBS
- Increasing use of digital document and records management systems and applications by chartered banks and licensees

STATE OF ALABAMA
STATE BANKING DEPARTMENT— FY08 IT STRATEGIC PLAN WORKSHEET

THREATS

- Loss of large institutions (i.e., assets over 10B) due to merger, charter changes, or buy-outs will significantly adversely impact funding
- The inability of the existing State Merit and Personnel System to consistently attract, secure, and retain qualified IT staff
- The increasing centralization of IT management across the state by ISD does not meet specific and unique department needs, especially in terms of ensuring the Department to comply with Federal and CSBS standards
- Increased level of system security threats as the Department increases it's reliance on IT

OBJECTIVES

- (G1) OBJ1 (% of Department disaster recovery IT requirements completed): Complete all remaining IT requirements for ensuring full implementation of the Department disaster recovery plan.
- (G2) OBJ1 (% of visited examination sites with non-dial-up system connectivity): Ensure field examiners have system connectivity, other than dial-up, at 80% of all visited examination sites.
- (G3) OBJ1 (% of IT requirements completed to enable verification that CSBS accreditation and internal processing standards are being met): Complete 66% of IT requirements to enable the Department to verify CSBS accreditation and internal processing standards are being met.

CRITICAL ISSUES

INTERNAL
- None

EXTERNAL
(G1, **G3**) EC1: Working with ISD, gain their support for proposed Departmental IT assessments and solutions addressing identified system and infrastructure requirements

STRATEGIES & ACTION PLANS* (Person Responsible/Estimated Completion Date)

(**G1**, *EC1*) S1: Complete remaining IT requirements for ensuring full implementation of the Department disaster recovery plan
A. Assess % of IT requirements addressed in FY07. (F. Ander) (1 Oct 07)
B. Working with ISD, review and modify project plan, if required. (F. Ander) (31 Oct 07)
C. Continue executing project plan to completion. (F. Ander) (31 May 08)
D. Reassess % of IT requirements addressed. (F. Ander) (30 Jun 08)
E. Complete after-action report to Superintendent of Banking. (F. Ander) (30 Sep 08)

(G2) S1: Assess and verify system connectivity at examination sites visited during the fiscal year.
A. Gather data to determine system connectivity at scheduled examination sites. (F. Ander) (30 Sep 08)
B. Analyze data to identify IT requirements for ensuring field examiners' system connectivity at examination sites. (F. Ander) (30 Sep 08)
C. Procure and deploy IT solutions for expanding field examiners' system connectivity. (F. Ander) (30 Sep 08)

(**G3**, EC1) S1: Complete planned IT requirements enabling the Department to verify CSBS accreditation and internal processing standards are being met.
A. Assess % of IT requirements addressed in FY07. (F. Ander) (1 Oct 07)
B. Working with ISD, review and modify project plan, if required. (F. Ander) (31 Oct 07)
C. Continue executing project plan to completion. (F. Ander) (30 Sep 08)

* Action plans will be submitted with Operational Plan, not the SMART Plan.

NOTE: As the planning and budget process continues, you will need to identify spending and staffing requirements for each action step, **if possible**. If not, then estimates will need to be provided for each strategy.

STATE OF ALABAMA
STATE BANKING DEPARTMENT— FY08 IT STRATEGIC PLAN WORKSHEET

Key Goals (DGX)	Critical Issues (GX)	Strategies (GX)	Objectives (GX) (Unit of Measure)	Baseline/ 2007 Projection/ 2008 Target
G1 (DGX): By the end of FY08, expand existing information and communication infrastructure and capabilities to ensure complete business continuity is achieved through an operational Department disaster recovery plan.	IC: None *(G1, **G3**) EC1: Working with ISD, gain their support for proposed Departmental IT assessments and solutions addressing identified system and infrastructure requirements*	(**G1**, *EC1*) S1: Complete remaining IT requirements for ensuring full implementation of the Department disaster recovery plan.	(G1) OBJ1 (% of Department disaster recovery IT requirements completed): Complete all remaining IT requirements for ensuring full implementation of the Department disaster recovery plan.	06: 0% 07: 50% 08: 100%
G2 (DGX): Integrate information and communication technologies to ensure field examiners have system connectivity, other than dial-up, at 80% of examination sites visited during the fiscal year.	None	(G2) S1: Assess and verify system connectivity at examination sites visited during the fiscal year.	(G2) OBJ1 (% of visited examination sites with non-dial-up system connectivity): Ensure field examiners have system connectivity, other than dial-up, at 80% of all visited examination sites.	06: 80% 07: 80% 08: 80%
G3 (DGX): By end of FY09, deploy a document management system and productivity database to consistently verify the Department meets CSBS accreditation and internal processing standards.	IC: None **(G1, G3) EC1: Working with ISD, gain their support for proposed Departmental IT assessments and solutions addressing identified system and infrastructure requirements**	(**G3**, EC1) S1: Complete planned IT requirements enabling the Department to verify CSBS accreditation and internal processing standards are being met.	(G3) OBJ1 (% of IT requirements completed to enable verification that CSBS accreditation and internal processing standards are being met): Complete 66% of IT requirements to enable the Department to verify CSBS accreditation and internal processing standards are being met.	06: 0% 07: 33% 08: 66%